



# Performance and Development Review

Full Guide | Professional Staff

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Updated July 2023

# University of Otago

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## Performance and Development Review Te Ika Kai Ake

### Guidelines

***Whaia te iti kahurangi; me he tuohu koe, he maunga teitei.***

*Pursue that which you treasure the most; should you falter, let it be only to a lofty mountain.*

The University of Otago prides itself in its numerous achievements; that of its academic and professional staff, its body of students and the number of research grants, prizes and awards it attracts every year. This institution is also proud of its vision, as demonstrated through living documents such as Strategic Directions, the Māori Strategic Framework and the Pacific Strategic Framework. Strategies and plans such as these demonstrate an unwavering commitment to the principles of protection, partnership and participation as assured in New Zealand's founding document, the Treaty of Waitangi.

*Whakahīhi ana Te Whare Wānanga i ōna tini tutukitanga: arā; ko ō ōna pūkenga (ko ngā kaiwhakaako, ko ngā kairangahau, ko ngā kaiwhakarato hoki) me ō ōna taura hoki; tae atu ki te maha o ngā pūtea rangahau me ngā momo whakamānawa e whiwhi ai ia i ia tau. Whakahīhi ana hoki Te Whare Wānanga nei i te whai kiko o ana pukapuka hei ara whakatinana i ōna wawata, pēnei i te 'Aronga Rautaki', te Anga Rautaki Māori me te Anga Rautaki Pacific. E whakaatu ana ērā momo rautaki, ērā momo māhere rānei, i te ū kaha ki ngā mātauranga o te tiakitanga, o te mahi tahi, o te whai wāhi hei whakatutuki i ngā kī taurangi, i te pukapuka tūāpapa i Aotearoa nei, arā, i Te Tiriti o Waitangi.*

# Purpose

The Performance and Development Review (PDR) is the approach used by the University of Otago to review performance over the previous 12 months and set development goals for the coming year.

The PDR process is an integral part of the University’s commitment to ensure that all professional staff can have quality discussions with their manager and work collaboratively to:

- Review staff performance, and engage in ongoing two-way discussions
- Review and plan staff member’s work objectives, and help them understand how their contribution is linked to their department / division and the wider University objectives;
- Provide constructive feedback to set and clarify expectations, so staff member’s understand their roles and what is expected of them; Align the staff member’s skills, knowledge and development with the strategic direction of the University and the department; and
- Develop the capabilities the staff member needs to effectively fulfil their current roles and future career aspirations.

# Time Frames and Process

## Review Period

The PDR review period is from November to October the following year. A minimum of three full months’ work is required. A standard year may look as follows:

Dates	Detail
01 November	Review year starts
November to August	Progress Updates
01 August – 31 October	Formal End of Year Review commences <ul style="list-style-type: none"> <li>- Performance reviewed</li> <li>- Goals and development objectives</li> <li>- Salary review recommendations (if eligible)</li> </ul> NOTE: Staff on Scale 1 will not need to complete part 3 of the PDR. If eligible, an increment increase will be applied on 01 February the following year. No letter will be printed as this is automatic. For more information see section titled “Salary Review”
31 October	Review year ends. Department head recommend outcomes for Divisional Review
15 November	Divisional Head approves final outcomes and salary increases
01 December	Letters generated for staff with approved salary increases
01 February	Salary increases applied

## Eligibility

The PDR takes place between **August and October each year**. It is the culmination of regular progress updates that take place throughout the year.

All Permanent and Fixed-Term professional staff who have been employed on their current employment agreement in their current role are eligible for a PDR and Salary Review if they are employed:

- on or before 31 July, and
- who may be employed by the University beyond 1 February the following year.

Staff must complete three months in their current role within the review period to be eligible for an end of year PDR and a Salary Review.

**Start before 31 July.** If staff member starts new role or has a promotion prior to 31 July, the PDR for the year will be based on the new role. The staff member will also be eligible for a salary review based on PDR outcome and position in range. Staff members who are employed close to 31 July should be reviewed towards the end of October, if possible, to allow for sufficient time to perform in their role.

**Start after 31 July.** Staff who are employed after 31 July will not be eligible for a salary review for the current year (see page 13). Staff should use this time to set goals and development plans for the remainder of the year and the following year.

**Changed role/Promotion after 31 July.** Staff who move to a new role with different salary band/level after 31 July are not eligible for a Salary review for the current year but can still have a PDR for their previous role (see page 13). In this instance, the focus of the PDR will be on development and goals/expectations for the following year.

**Exceptions.** If the staff member has moved to a position at the same level and step/pay, then they may still be eligible for a salary review. PDR will be based on previous role. Both new and previous managers will need to agree to the outcome.

**More than one eligible role.** If the staff member works in more than one eligible role, the staff member will receive a PDR for each eligible role.

## Progress updates

Good performance development is about managing all aspects of staff performance consistently and transparently. It is an ongoing process involving regular discussions (or progress updates) with staff. Progress updates occur regularly throughout the year and are in addition to informal one-to-ones about how work is going. The PDR form includes dates to be set for progress updates.

Progress updates are an opportunity to set and manage expectations; ensure that goals, objectives and expected outcomes are on track; acknowledge good performance through positive feedback; provide constructive feedback to align expectations and performance and help staff members develop key skills and knowledge.

## PDR while on Parental leave

Staff on parental leave can participate in the PDR process and must not be disadvantaged by taking this leave. Reviewers assess the individual's performance during the months that they worked over the review period. Ideally, development opportunities should be discussed prior to the staff member starting parental leave.

The following principles apply:

- Going on parental leave: If staff member has worked three months in the current review year (November – October), review takes place prior to going on parental leave.
- Returning from parental leave: If a staff member has/will work at least three months in current review year (November – October), review takes place as normal.
- Insufficient time for review: the rating from the previous year is applicable.

There is always a review for staff on Parental Leave.

For more information, please refer to the [PDR Parental Leave Guide](#).

## PDR while on Secondment

All staff should have a PDR review with their manager prior to commencing their secondment. At the commencement of the secondment, the secondment manager should set clear objectives and expectations for the secondment. If the PDR review period occurs during the secondment, the secondment manager will conduct the review in consultation with the substantive manager. Two decisions will need to be made. One for the secondment role and one for the substantive role.

**Substantive Role:** the substantive manager will need to determine based on performance, feedback from secondment manager and position in range whether an increase should be applied/recommended for the staff member. Increases can be applied to substantive role during the review period or upon the staff member's return. Any salary increase applied will be against the substantive role only.

**Secondment Role:** If the secondment commenced prior to 01 August, the secondment manager must determine whether or not a salary increase should be applied. If the secondment occurred on or after 01 August, no increase will be applied. The secondment manager will need to apply for this increase via email to the Remuneration team once the outcomes have been confirmed.

## Management Band PDR

The Management Band PDR is similar to the professional staff member PDR in that the overall process is the same. The PDR competency '**Leadership and People Management**' is required when making an overall assessment and the Management Band PDR form is to be used.

It is recommended that reviewers have their own PDR discussion with their manager prior to having PDR discussions with their staff so that there is alignment with departmental / divisional strategic objectives.

For more information, please refer to the [PDR Management Band Guide](#).

# The Review

The PDR involves a discussion between the staff member and their reviewer (who may also be their manager). The reviewer should contact the staff member well in advance to arrange a date, time and location for the discussion. The PDR discussion would normally follow the same structure as the PDR form.

## Prepare

Take time to prepare for the PDR discussion. Reference materials will include:

- Current job description,
- PDR from the previous year,
- Progress updates from throughout the year,
- Any feedback received,
- Values and behaviours framework, and
- the PDR Competencies (refer to Appendix A below).

Specific examples from the past 12 months are essential to the overall assessment.

## Discuss

This includes:

- Things that have gone particularly well.
- Things that didn't go as well as planned.
- Any challenges.
- Feedback that has been received.
- Progress and achievements since the last review.

## Future planning and development

- Goals, objectives or expected outcomes are you keen to work towards for the upcoming year (and beyond).
- Alignment with division / department team priorities and University strategies is encouraged (e.g. University Strategic Direction, Māori Strategic Framework, Pacific Strategic Framework and Sustainability Strategic Framework).
- Alignment with our shared values Respect, Integrity, Curiosity and Community.
- Development opportunities to support you to achieve these objectives.
- Career aspirations and opportunities for career growth.

## Impact of unexpected circumstances

Reviewers should consider the impact of unexpected events/circumstances that may impact a staff member's ability to achieve expected outcomes (e.g. impact of COVID-19, natural disasters etc.). These considerations should be noted when finalising outcomes.

Additionally, reviewers should also consider how staff may have acted above and beyond to support and contribute during these same situations. This should also be considered when finalising individual performance outcomes.

## Learning and Development Opportunities

The PDR process is the time to plan for learning and development opportunities relevant to your role. Staff at the University of Otago have access to a comprehensive range of development programmes and learning options. Refer to the [learning and development programme](#) and [professional development toolkit](#) for more information and to access courses.

In line with the University's commitment to the [Māori Strategic Framework](#), a competency Ngā Taonga Tuku Iho/Language and Culture is included for use in PDR discussions and setting of the expected outcomes and development opportunities for the next 12 months. Each competency within the framework also includes reference to cultural expectations.

There are [numerous development resources](#) relating to the *Ngā Taonga Tuku Iho / Language and Culture* competency which we encourage all staff to utilise.

When reviewing the descriptors in the PDR competencies, the goals of the [Pacific Strategic Framework](#) must be considered.

# Assessment of Performance

**Outcomes** and **Competencies** are the key tools used for the assessment of performance and for defining areas for development.

- The **Outcomes** focus on what has been achieved.
- The **Competencies** focus on the skills required to achieve those outcomes and the way or manner in which this has been done.

## What are Outcomes?

An **outcome** is what has been achieved. Objectives are specific, measurable activities that are performed to meet goals which results in the expected outcome. These form the basis of the PDR.

## SMART Outcomes

Expected outcomes, including development goals are: **Specific, Measurable, Agreed, Realistic** and have a **Timeframe** in which to achieve them (**SMART**).

Examples of expected outcomes include:

- All student requests are responded to the specified standards within 24 hours.
- Organise the computing and communication equipment required for the conference and provide effective IT support during the conference.
- Improve the accuracy of financial summaries by using Excel more effectively. Complete an Excel course then work with Financial Services to implement appropriate tools by the end of the first semester.

Normally, the outcomes that have been set for a staff member can be found on the previous year’s PDR form and may include additional outcomes from progress updates throughout the previous 12 months.

For example:

<b>General advice</b>	Respond and attend to enquiries in a professional and timely manner, providing accurate information, and referring more complex matters as appropriate.  Treats customers’ needs and requests as a top priority, and responds promptly to changing needs ( <b>from the competency: ‘Service to customers’</b> ).
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When assessing, compare the relevant **descriptors** provided for each **competency** within the **expected outcomes**. For example, the staff member would be assessed as ‘fully competent’ for this outcome.

<b>Outcome</b>	Respond and attend to enquiries in a professional and timely manner, providing accurate information, and referring more complex matters as appropriate.	
<b>Descriptions that best reflect how the staff member meets that competency</b>	Treats customers’ needs and requests as a top priority, and responds promptly to changing needs. <i>(Service to customers)</i>	Fully competent
	Demonstrates the ability to clarify issues and focus on key points. <i>(Problem solving and decision making)</i>	Fully competent

**Outcomes** could also be agreed at the previous PDR when objectives are set for the following year. For example:

Improve Excel skills and take responsibility for entry, calculation and checking of 100 level grades for semester 1.
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## Community service

Service to the University and wider community is not a requirement of professional staff; however, a significant number of professional staff are involved in activities which benefit the University.

This kind of contribution should be acknowledged and valued. Although not compulsory, community service is an additional positive factor which **should** be taken into consideration when assessing the overall level of performance.

## What are Competencies?

Competencies can be broadly described as the level of skills, knowledge, experience, attributes, and behaviours that a staff member needs to perform a job effectively.

The PDR process uses eight generic competencies:

1. Knowledge and Skills
2. Teamwork and Co-operation
3. Organisation, Planning and Self-Management
4. Problem Solving/Decision Making
5. Service to Customers
6. Initiative and Innovation
7. Leadership and People Management
8. Ngā Taonga Tuku Iho/Language and Culture

Most competencies should apply in describing the level of performance. However, the relevance of some competencies may vary depending on the position. For example, the 'Leadership and People Management' competency may be more relevant for an individual with direct reports or in a senior role, compared with an individual with no direct reports.

*The Knowledge and Skills competency* will normally align with the specifications and requirements outlined in the job description and previous PDRs. This competency is foundational to the other competencies.

Competencies describe how the outcomes have been achieved using references to performance levels. A series of competency descriptors are used when assessing performance levels. These can be found in the on the PDR Website.

It is important to note, not all the competency descriptions will apply to each position or to a particular outcome.

# Performance Levels and Competencies

There are five performance levels for the PDR:

Performance level	Definition
<b>Outstanding</b>	Consistently achieves all of their outcomes as described in the 'outstanding' performance descriptions. The key outcomes are recognised as exceeding the normal expectations for the role.
<b>Exceeds expectations</b>	Achieves some outcomes that are recognised to be beyond the requirements of the role as described in the 'outstanding' performance descriptions for key competencies and balanced with outcomes achieved at the 'fully competent' level for other competencies.
<b>Fully competent</b>	Achieves all expected outcomes to a high standard as described in the 'fully competent' performance descriptions. <b>Performance assessed at this level is considered as meeting normal expectations for the role.</b>
<b>Working satisfactorily towards full competence</b>	Achieves some expected outcomes and demonstrates full competence in some areas as described in the 'working satisfactorily towards full competence' performance descriptions. Development is required in some areas of the role but progress towards 'fully competent' is evident.
<b>Requires improvement</b>	Does not achieve some expected outcomes; performance is as described in the 'requires improvement' performance descriptions. Development is required in some key areas of the role but improvement is not evident.

The expectation is that all staff members will attain the level of **'fully competent'** by progressing through the appointment steps within the appointment range or be appointed at that level based on their experience and the expectation that they will perform at that level.

The number of appointment steps will vary depending on the level of appointment and initial placement within that range. Once the level of **'fully competent'** is achieved it is expected that this will become the minimum standard of performance.

A useful comparison when considering **'fully competent'** is to think what is meant when we consider a clinician (e.g. surgeon) as fully competent.

An overall assessment of **'outstanding'** would apply to staff who continually achieve a high standard of outcomes and consistently demonstrate outstanding performance across a broad range of competencies. Normally a staff member's performance will be reflected by their placement on the salary scale. As a staff member moves up the scale, the performance expectations increase.

## Exceeds expectations performance level

The performance level **'exceeds expectations'** does not have its own set of descriptors within the competency framework. This performance level is achieved when the performance demonstrates a mix of relevant items in the **'fully competent'** column and some of the relevant descriptions in the **'outstanding'** column.

## Overall assessment

When the PDR discussion between the staff member and reviewer is completed, the reviewer determines an overall assessment of performance using the Competency tables. The Competency Table tool is located on the [PDR Website](#).

Overall performance should be based on the performance of the previous 12 months. Performance issues should be addressed at the appropriate time and not be a surprise to the staff member at the time of the PDR.

The process for making an assessment will normally take into consideration the following:

1. Outcomes set in the previous PDR.
2. The importance and relevance of each competency.
3. Determine which performance level best describes how outcomes have been achieved using the descriptors in the competency tables and the PDR discussion.
4. Make an overall assessment.

## Variation in overall assessment

The assessment period is the previous 12 months. Due to a range of reasons, there are likely to be variations to the overall assessment year on year. e.g. someone assessed as '**outstanding**' one year may be assessed as '**exceeds expectations**' or '**fully competent**' the following year.

# Salary review

**NOTE FOR STAFF ON SCALE 1:** As of 01 February 2023, staff on the Scale 1 will automatically receive a standard increase on the proviso that they are eligible for a PDR, they are not at the top of the scale or off the scale.

## Salary Progression

Moving up the salary scale will depend on where your salary is on the scale and the overall performance assessment you receive. There are two types of salary increase – Standard Increase and Accelerated Increase:

### Standard increase

The standard increase in the Professional Staff Scale 1 is:

- One increment. (e.g. in Level 4 a standard increase would be from step 3 to step 7, or 11 to 15.)
- The standard increase for Scale 6 (Residential Colleges) is one step.

### Accelerated increase

An accelerated increase is one additional standard increase (i.e. two standard increases). Please note that this increase is reserved for **exceptional performance** and must be considered and approved at the Division level. As the increases are automatic for staff on Scale 1 from 2023 onwards, managers will need to submit a business case to the Division Head to consider. Any approved accelerated increases will need to be sent to the Remunerations Team for review and processing.

### Increases outside of Policy

Any recommended increases outside of the PDR Policy must have a business case recommended by the Divisional Head for approval by the Vice-Chancellor (or their delegate).

### Top of the Range or Off the Scale

The University of Otago is privileged to have a large proportion of experienced staff at the top of the range, who are receiving the appropriate financial recognition for their level of sustained performance over time. The PDR can provide a platform to look at the career goals and development opportunities for that individual in the team and the wider University.

Development opportunities may include:

- Building mentoring skills by developing other staff members within the department (i.e. takes on a tuakana role for teina/less experienced colleagues);
- Learning new areas of specialisation and skills;
- Considering career pathways and identifying developmental requirements;
- Taking on a leadership role in projects within the department; and across the University;
- Bringing skills and knowledge to the wider University by participating in cross-functional committees;
- Taking courses, papers, attending conferences or seminars;
- Undertake secondments or act in higher level roles;
- Job shadowing, job share or job exchange.

Other options for acknowledging and rewarding staff include flexible working arrangements, awards, public acknowledgement and study support

### Staff on the Management Band

Please refer to the **Management Band PDR Guidelines** on the PDR Web page for more specific information.

# Staff not eligible for a Salary Review

## Started on or after 01 August

New staff who start after 01 August are not eligible for a salary review. This will be taken into consideration when determining starting salary. Please refer to the [Remuneration Policy section 6 \(A\)](#).

## Moved to a new role on or after 01 August

If a staff member moves to a new role after 01 August, they will not be eligible for a salary review. Instead, this will be taken into consideration when determining their salary for their new role. Please refer to the [Remuneration Policy 6 \(B\)](#).

# Requirements for movement within scale – Professional Staff

The level of Overall Assessment determines the options for salary progression. The requirements are outlined in the table below.

**This only applies to staff NOT on Scale 1.**

Salary Progression		
Current salary scale position	Overall assessment	Options
Any level	<b>Not Assessed/Eligible</b>	No progression
Any level	<b>Requires improvement</b>	No progression – seek HR advice
Appointment range	<b>Working satisfactorily</b>	Standard increase
	<b>Fully competent</b>	Standard increase
	<b>Exceeds expectations</b>	Standard increase or accelerated increase considered
	<b>Outstanding</b>	Standard increase or accelerated increase considered
Movement from appointment range to merit range	<b>Working satisfactorily</b>	No increase
	<b>Fully competent</b>	No increase
	<b>Exceeds expectations</b>	Standard increase or accelerated increase considered
	<b>Outstanding</b>	Standard increase or accelerated increase considered
Lower merit range	<b>Working satisfactorily</b>	No increase
	<b>Fully competent</b>	No increase
	<b>Exceeds expectations</b>	Standard increase considered
	<b>Outstanding</b>	Standard increase or accelerated increase considered
Movement from lower merit range to upper merit range	<b>Working satisfactorily</b>	No increase
	<b>Fully competent</b>	No increase
	<b>Exceeds expectations</b>	No increase
	<b>Outstanding</b>	Standard increase or accelerated increase considered
Upper merit range	<b>Working satisfactorily</b>	No increase
	<b>Fully competent</b>	No increase
	<b>Exceeds expectations</b>	No increase
	<b>Outstanding</b>	Standard increase or accelerated increase considered

# After the PDR

## Complete PDR form

After the discussion has taken place, the reviewer completes the PDR form and provides it to the staff member to check that the content of the form is a true reflection of the discussion, the staff member and reviewer agree on any changes and then sign the form. If the parties are unable to reach an agreement, the review is progressed up to the manager.

**A copy of the completed form is given to the staff member by 31 October by the reviewer.**

## Letters

If a salary increase is awarded, a **letter confirming the new salary will normally be provided to the individual by the first week of December**. If no salary increase is awarded, the staff member will not receive a letter.

## Support

It is the University's imperative that staff and managers can have a respectful and constructive working relationship. Based on the principle that there should be no surprises during the PDR discussion, it is better that options for support are introduced if and when the need is first identified.

The staff member can bring a support person to the PDR discussion, and this option is encouraged if it is felt that it would benefit the PDR. A support person could be, for example, a colleague, whānau support, or a union representative. A support person provides support and might not speak during the PDR discussion, but they may provide prompts for the staff member to speak.

If a staff member is considering bringing a support person, they must raise this with their reviewer in advance of the discussion taking place, both out of courtesy and so that appropriate arrangements for the meeting space can be arranged. The role of the support person must be clarified prior to the discussion taking place.

Further sources of support include the Performance and Development Adviser, colleagues, senior staff in your Division, the Divisional HR Managers, the HR Promotions & Remuneration team, Union Representatives, and the Manager, Mediation and Facilitation. They may be able to help directly or suggest other people or options. These resources are available to all campuses

Please refer to the website for further sources of support: [otago.ac.nz/humanresources/training/professional-staff/pdr](https://otago.ac.nz/humanresources/training/professional-staff/pdr)

## Disagreement with the PDR outcome

If a disagreement should arise between the parties during the review, they are encouraged to resolve it themselves as this allows them to keep control of how they manage their working relationship. They can draw on the PDR support options below or ask the senior manager to become involved. They could invite an appropriate third party to facilitate a constructive discussion to help both parties reach an agreement. This could be any person that both parties believe has the knowledge and personal skills to help resolve the disagreement and who is willing to assist in this way.

You are also encouraged to refer to the Employment Relationship Problem Resolution Process outlined in your employment agreement.

Any contest of the outcome must be made before **15 December**.

## Further information

PDR resources are available on the HR website: [otago.ac.nz/humanresources/training/professional-staff/pdr](https://otago.ac.nz/humanresources/training/professional-staff/pdr)

Alternatively, you can email [hr.pdr@otago.ac.nz](mailto:hr.pdr@otago.ac.nz) for more information.